IAPD Report

JOHN JOSEPH LOMBA

CRD# 2334039

Section Title	Page(s)

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

JOHN JOSEPH LOMBA (CRD# 2334039)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/27/2016
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/12/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	RIVERSOURCE DISTRIBUTORS, INC.	139135	MINNEAPOLIS, MN	02/23/2010 - 06/24/2016
IA	METLIFE SECURITIES INC.	14251	TAMPA, FL	09/07/2007 - 02/05/2010
B	METLIFE SECURITIES INC.	14251	TAMPA, FL	03/27/2007 - 02/05/2010

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **No**

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402

Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/27/2016
B	FINRA	General Securities Representative	Approved	06/27/2016
B	FINRA	Invest. Co and Variable Contracts	Approved	06/27/2016
B	Alabama	Agent	Approved	02/11/2022
B	Arizona	Agent	Approved	08/02/2023
B	California	Agent	Approved	01/03/2017
B	Connecticut	Agent	Approved	08/02/2022
B	Florida	Agent	Approved	06/27/2016
IA	Florida	Investment Adviser Representative	Approved	08/12/2016
B	Georgia	Agent	Approved	02/20/2018
B	Hawaii	Agent	Approved	01/05/2024
B	Illinois	Agent	Approved	01/24/2025
B	Indiana	Agent	Approved	10/21/2022

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	02/28/2017
B	Maine	Agent	Approved	02/28/2017
B	Maryland	Agent	Approved	08/19/2024
B	Massachusetts	Agent	Approved	02/28/2017
B	Michigan	Agent	Approved	01/25/2018
B	Minnesota	Agent	Approved	09/14/2022
B	Nevada	Agent	Approved	09/30/2020
B	New Hampshire	Agent	Approved	02/28/2017
B	New Mexico	Agent	Approved	01/31/2023
B	New York	Agent	Approved	10/20/2022
B	North Carolina	Agent	Approved	11/23/2022
B	Pennsylvania	Agent	Approved	02/14/2025
B	Rhode Island	Agent	Approved	02/28/2017
B	Tennessee	Agent	Approved	03/24/2022
B	Texas	Agent	Approved	03/25/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/28/2022
B	Virginia	Agent	Approved	11/03/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

Qualifications

7317 Merchant Ct Ste B
Lakewood Ranch, FL 34240

AMERIPRISE FINANCIAL SERVICES, LLC
Wesley Chapel, FL

AMERIPRISE FINANCIAL SERVICES, LLC
1700 SE 17th St Ste 330
Ocala, FL 34471

AMERIPRISE FINANCIAL SERVICES, LLC
28943 Wesley Chapel Blvd
Wesley Chapel, FL 33543

AMERIPRISE FINANCIAL SERVICES, LLC
10225 Ulmerton Rd Ste 5B
Largo, FL 33771-3520

AMERIPRISE FINANCIAL SERVICES, LLC
1390 N Hancock Rd
Ste 102
Clermont, FL 34711

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/18/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/18/2005
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/30/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/25/2016
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/23/2010 - 06/24/2016	RIVERSOURCE DISTRIBUTORS, INC.	CRD# 139135	MINNEAPOLIS, MN
IA	09/07/2007 - 02/05/2010	METLIFE SECURITIES INC.	CRD# 14251	TAMPA, FL
B	03/27/2007 - 02/05/2010	METLIFE SECURITIES INC.	CRD# 14251	TAMPA, FL
B	03/27/2007 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
IA	04/28/2006 - 08/29/2006	FISHER INVESTMENTS	CRD# 107342	WESLEY CHAPEL, FL
IA	02/03/2006 - 05/03/2006	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	WESLEY CHAPEL, FL
B	04/20/2005 - 05/03/2006	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
B	08/28/2001 - 11/27/2001	EVERGREEN INVESTMENT SERVICES, INC.	CRD# 487	CHARLOTTE, NC
B	11/04/1996 - 08/20/2001	CDC IXIS ASSET MANAGEMENT DISTRIBUTORS, L.P.	CRD# 34754	BOSTON, MA
B	06/27/1996 - 10/08/1996	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	06/27/1996 - 10/08/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	07/01/1993 - 03/05/1996	PUTNAM MUTUAL FUNDS CORP.	CRD# 7325	BOSTON, MA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2016 - Present	Ameriprise Financial Service, LLC	Registered Rep	Y	Seminole, FL, United States
06/2016 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	The Villages, FL, United States
02/2010 - 06/2016	RIVERSOURCE DISTRIBUTORS INC.	REGIONAL VICE PRESIDENT	Y	MINNEAPOLIS, MN, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Business Ownership; Professional Alliance Consultants, LLC; I will be helping start-up and small businesses to develop business plans to include Key Performance Indicators to track and measure sales and marketing efforts. This business will not involve AMP clients, software, material.; Consulting; 1252 Caladesi Dr, Wesley Chapel FL 33544, ,; Not Investment-Related; 08/01/2019; 10 to 19 hours per month; 0 during trading hours.

End of Report

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